Appendix K: Instructions and Tips For Using the Provider Monitoring Report Excel Files

Two Excel files have been provided. One file is the blank report template, and the other file is a sample file that has been partially completed to show all possible rating choices within each monitoring worksheet. The two files are as follows:

- **Provider Monitoring Report Template XX-XX-XX.xls** -- This file is the blank report template to be used to create separate provider monitoring report files for each monitoring visit. The XX-XX-XX in the file name represents the date the file was created or revised. Make sure to use the most current version of the template.

  Do not write in this file. Instead, copy and rename the file with a name that will easily identify the provider being monitored and the date monitored (e.g. Monitoring Report - XYZ Provider 7-28-10.xls).

- **Provider Monitoring Report Showing Rating Choices XX-XX-XX.xls** -- This file is a copy of the report template that has been partially completed to show all possible rating choices for each element on the monitoring worksheets. To make it easier to view the file and to conserve paper when printing, unused columns in the monitoring worksheets have been hidden. Fictitious provider and LME identifying information has been added to show how the monitoring worksheets, the provider monitoring report, and ratings and actions summary worksheet will look when information is entered into the report template. It should be noted that the ratings on the provider monitoring report and ratings and actions summary worksheet will be artificially low because the monitoring worksheets contain each possible rating for each element. This results in low element scores.

File (Workbook) Layout. The file contains 18 worksheets. As explained below, reviewers enter identifying information on the "Identification" worksheet at the beginning of the workbook and their findings and comments on Worksheets #1 through #5. The workbook automatically takes identifying information from the "Identification" worksheet and enters it into all applicable worksheets, uses findings to calculate ratings for each element, completes the provider monitoring report and ratings and actions summary sheet, and completes a database extract that can be copied and pasted into a provider monitoring database that can be used to track the results of all monitoring visits for all providers.

The name, purpose, and instructions for using each worksheet are provided below:

- **Identification** (orange color tab) -- This worksheet is provided to enter provider and LME identifying information and date of review. The information entered on this worksheet is automatically copied to the other worksheets in the workbook (where appropriate) so that this information need only be entered once.

- **Provider Monitoring Report** and **Provider Monitoring Report (2)** (green color tab) -- These two worksheets provide two slightly different versions of the monitoring report. The version used will depend in part on the number of domains that are monitored and personal preference.

  Provider Monitoring Report - Use this version when a monitoring review is conducted on all domains. This version is formatted to print the results of <u>all five domains</u> in a single 9-page report. There are no manual page breaks between domains.

  Provider Monitoring Report (2) - Use this version when monitoring is conducted on <u>only one or a few domains</u>. This version is formatted with page breaks to allow printing the results of each domain on separate pages. Domains that are not monitored may be hidden prior to printing so that the report includes only domains that were monitored. To ensure that automatic page numbering works properly, hide the rows associated with unused domains before printing the report.

The Provider Monitoring Report is given to the provider as part of the official report. It provides the rating for each element reviewed along with a brief description of what the rating means, the action required, and comments extracted from the individual monitoring worksheets. It is automatically generated when ratings and comments are entered into the individual monitoring worksheets (Worksheets #1 through #5).

The report automatically color codes (using conditional formatting) the ratings and actions required to make the report easier for the reader to visually scan. Cell shading for “High” scores will turn green, “Moderate” scores will turn yellow, and “Low” scores will turn orange. The font color for the “action required” automatically changes to blue for “REC (Recommendation For Improvement)”, orange for “POC (Plan of Correction)”, and red for “POC-FM (Plan of Correction with Focused Monitoring)”. The key to the “action required” abbreviations prints on the footer of each page of the report.

- **Ratings & Actions Summary Sheet** (green color tab) -- This worksheet is a companion to the Provider Monitoring Report worksheet and provides a one-page summary that lists the domains, key elements, ratings, and actions required for each element. It also provides a count of the number of elements rated “High”, “Moderate”, “Low”, and “Not Rated” and a count of the number of elements that require “No Action”, “REC (Recommendation For Improvement)”, “POC (Plan of Correction)”, and “POC-FM (Plan of Correction with Focused Monitoring)”.

  This worksheet uses the same conditional formatting color scheme used by the Provider Monitoring Report worksheet to color code ratings and actions required. This worksheet is automatically generated when ratings and comments are entered into the individual monitoring worksheets (Worksheets #1 through #5). This worksheet may be printed and given to the provider as an abbreviated summary of ratings and actions required.

- **Copy Row3 to Database** (orange color tab) -- This worksheet provides a summary of the monitoring results on a **single spreadsheet row** in a format that can be easily copied and entered into an Excel database for tracking and analysis of results across providers and monitoring visits. This worksheet is linked to other worksheets in the file and automatically collects and displays provider and LME identifying information, the date of the review, the total number of elements rated, the number of elements rated “High”, “Moderate”, “Low”, and “Not Rated”, the number of elements reviewed that require no action or resulted in recommendation for improvement, plan of correction, and plan of correction with focused monitoring, and the individual ratings and actions required for each element.

  <u>CAUTION</u>: The information on this row should be copied and the values pasted into a Provider Monitoring Database using the “Paste Special” command -- NOT the “Paste” command. Using the “**Paste Special**” command to “**Paste Values**” will copy the actual values (e.g. the numbers and words that appear on this row) into the database. In contrast, the “Paste” command will copy only the formulas and links to the database rather than the values generated by those formulas and links. This may cause the database to not work properly.

- **Database** (yellow color tab) -- This worksheet provides a database that can be used to consolidate, track, and analyze the results of provider monitoring visits **for multiple providers or multiple reviews**. It is designed to receive the data generated by the “Copy Row3 to Database” worksheet from each individual provider monitoring file.

It is recommended that this worksheet be copied or moved **to another Excel file** that will serve as the database.

When copying this worksheet to another Excel file that will serve as a provider monitoring database file, the easiest and most effective way to copy this worksheet is to use the shortcut menu associated with the worksheet tab at the bottom of the worksheet. Using this method will maintain the column width and row height formatting and print settings from the source file.

To copy the database, do the following:

- **Right click** on the yellow colored **worksheet tab** (named “Database”) at the bottom of the worksheet. (This will cause a shortcut menu to appear)
- On the shortcut menu, **select** (left click) “**Move or Copy…**”. (This will cause the Move or Copy dialogue box to appear)
- In the “**To book:**” drop-down box at the top of the dialogue box, **select** “**(new book)**”.
- **Check** the “**Create a copy**” checkbox at the bottom of the dialogue box. (If you leave this checkbox blank, the worksheet will be moved to the new file instead of copied to it.)
- **Select** (left click) the “**OK**” button at the bottom of the dialogue box, or press “Enter” on your keyboard.
- A **warning message** will pop-up on your screen informing you: “The sheet you are copying has cells that contain more than 255 characters. When you copy the entire sheet, only the first 255 characters in each cell are copied. To copy all of the characters, copy the cells to a new sheet instead of copying the entire sheet.”
- **Select** (left click) the “**OK**” button on the warning message. (The warning message will disappear, and the worksheet will be copied into a new Excel workbook -- with some of the cells truncated at 255 characters.)
- To fix the truncation problem, **unprotect** the destination worksheet in the **new workbook**.
- **Return** to the **source file** from which you copied the “Database” worksheet.
- **Left click** the **blank gray-colored cell** at the **top left corner** of the worksheet at the intersection of the gray-colored column and row headers (above row 1 and to the left of column A). (This will select and highlight all cells in the source file worksheet.)
- **Copy** the source file **worksheet** to Excel’s clipboard (there are multiple ways to do this -- press the “Copy” shortcut button on the toolbar, use the Edit drop-down menu and select “Copy”, or press the “Ctrl” and “C” keys simultaneously). (Flashing dotted lines will appear around the borders of the worksheet showing that everything has been copied to the clipboard. This includes data from cells that exceed 255 characters.)
- **Return** to the **new workbook** (destination file) that you created earlier.
- **Left click** the **blank gray-colored cell** at the **top left corner** of the worksheet at the intersection of the gray-colored column and row headers (above row 1 and to the left of column A). (This will select and highlight all cells in the destination file worksheet.)

- **Paste** the information that was copied to the clipboard onto the destination worksheet (there are multiple ways to do this -- press the "Paste" shortcut button on the toolbar, use the Edit drop-down menu and select "Paste", or press the "Ctrl" and "V" keys simultaneously). (The "Database" worksheet in the destination file will now be identical to the "Database" worksheet from the source file)
- **Protect** the destination **worksheet** in the **new workbook**.
- **Save** and **name** the **new workbook file** with your database.

The values copied from the "Copy Row3 to Database" worksheet of individual provider monitoring files should be pasted into this database using the "**Paste Special**" command to "**Paste Values**" as described above in the "CAUTION" section of the "Copy Row3 to Database" worksheet description.

The data for multiple providers and reviews can be analyzed using the built-in "auto filters" that appear as drop-down arrows in the header (row 4 of the database) combined with the "subtotal" formulas just above the headers (row 2 of the database). The database can also be analyzed using pivot tables (not provided).

"Auto filters" allow one to search for specific records (rows) or for records that meet specific criteria or conditions that you specify. "Auto filters" cause the worksheet to show only those records that meet your criteria. The worksheet hides rows that do not meet the criteria.

The "subtotal" formulas work with "auto filters" to count, sum or average values (depending upon which variation of the formula is used) for the entries that meet the criteria or conditions designated by the "auto filters". If "auto filters" are not used to limit the data, the "subtotal" formulas provide totals for all records in the database. The subtotal formulas are currently set to evaluate the values for the first 35,000 rows of the database. The range in the formulas can be adjusted if more than 35,000 rows of data are entered into the database. However, it is not expected that this will necessary.

The database has been conditionally formatted to show "ratings" and "actions required" using the same color scheme used by the Provider Monitoring Report worksheet.

Additional columns can be added to the database, as needed, to allow LMEs to collect and analyze additional information related to provider monitoring.

- **There are 9 monitoring worksheets** (gray color tab) --

#1 Quality Mgt-Doc
#1 Quality Mgt-Intvw

#2 Protection From Harm-Doc

#3 Staff Competency-Doc
#3 Staff Competency-Intvw

#4 Person Centered Svcs-Doc
#4 Person Centered Svcs-Intvw

#5 Individual Rights-Doc
#5 Individual Rights-Intvw

The worksheet number and name corresponds to the domain monitored. In all, the Provider Monitoring Report covers a total of five domains. Each domain, except #2 Protection From Harm, has two monitoring worksheets -- one for documentation and one for interviews. The last part of the worksheet name (e.g. "-Doc" or "-Intvw") indicates the focus of the worksheet.

- **The following information and instructions are common to all monitoring worksheets**.

  Purpose. The monitoring worksheets identify the key elements and subelements to be reviewed for each domain and provide a place for the reviewer to document findings for each item in the sample. The monitoring worksheets calculate a rating for each element. Ratings and comments are automatically transferred from the monitoring worksheets to the Provider Monitoring Report. A copy of the relevant monitoring worksheets may be attached to the Provider Monitoring Report to provide details and to show how the overall rating for each element was calculated.

  Reviewer(s). Enter the name(s) of the reviewer(s) responsible for completing the worksheet in the designated cell at the top of each monitoring worksheet. If nothing is entered (i.e. the cell is blank), the cell shading will turn yellow and a reminder (in blue font) will appear next to the cell. Because different reviewers may conduct different portions of the monitoring, it is necessary that this information be manually entered on each monitoring worksheet.

  Number of Columns. The number of columns contained in the monitoring worksheets vary.

  The design of the first monitoring worksheet, "#1 Quality Mgt-Doc", is slightly different than the others. This worksheet was designed with only one column for entering findings from the review of organizational-wide documentation. Because it has only one column, this worksheet does not need any adjustments prior to printing.

  The other monitoring worksheets are used to document findings for a sample of documents or interviews that may vary from provider to provider depending on the size of the organization and number of services provided. To accommodate the maximum possible sample size required for each type of review, the monitoring worksheets for documenting interviews include up to 10 columns, and the monitoring worksheets for reviewing documents include up to 30 columns for entering findings. The last column of each monitoring worksheet calculates the percentage of the sample that meet criteria and displays ratings for each key element.

  The monitoring worksheets that have multiple columns are formatted to print 5 columns per page. To conserve paper, hide unused columns in groups of 5 (e.g. Sample #6 - #10, Sample #11 - #15, etc) prior to printing. Do not hide the last column labeled "Rating". This column needs to be included in the report when printed.

  Comments. Enter relevant remarks in the cells provided for "Comments & Notes". Keep in mind that comments entered on these worksheets will automatically appear in the "Comments" column for the corresponding key element in the "Provider Monitoring Report" worksheet. A copy of the Provider Monitoring Report is given to the provider being monitored. For this reason, keep comments brief, instructive, and understandable.

  A comment is required if the key element was rated "Not Rated" or received less than full credit (e.g. a "Moderate" or "Low" rating). If the key element received a "Not Rated" or a rating that was less than full credit, and a comment was not entered, the cell shading in the "Comments & Notes" row will turn yellow as a reminder of the need to enter a comment.

As was noted above, the monitoring worksheets are formatted to print 5 columns per page. The cells in the “Comments & Notes” row for each group of 5 columns have been merged to facilitate the entry and viewing of comments. This is the reason for the instruction in the “Number of Columns” section above to hide unused columns in groups of 5. The goal is to preserve the integrity of the comments section associated with each group of 5 columns. If this is done correctly, comments entered will print correctly when the worksheet is printed.

Documenting Findings. To ensure consistency and to enable the monitoring worksheets to calculate a rating for each element, each cell used to document findings contains a drop-down list showing all allowable choices. Select the finding from the drop-down list that best applies.

If worksheet protection is turned on, double-click anywhere on the cell. The first click selects the cell, and the second click activates the drop-down menu. This is the easiest method. If worksheet protection is turned off, first click the cell to select it, then carefully click the drop-down arrow in the bottom right corner of the cell to activate the drop-down menu.

The monitoring worksheets will automatically calculate an overall “rating” for each key element based on the results entered for all subelements reviewed in the sample. The “rating” will be displayed in the last column of the monitoring worksheet and in the appropriate column on the “Provider Monitoring Report” worksheet.

If it is decided that an entire element shall be not rated, it is only necessary to enter “Not Rated” in one of the cells for the element. The other cells can be left blank. The rating formula will see the one “Not Rated” and will calculate the element as “Not Rated”.

- **Rating Choices** (orange color tab) -- This worksheet was created to serve as a reference guide for reviewers. It lists the key elements and subelements contained in each monitoring worksheet (Worksheets #1 through #5) and shows the possible rating choices for each. It can be printed and carried for reference.

  An alternative to printing this worksheet is to print the individual monitoring worksheets from the file named “**Provider Monitoring Report Showing Rating Choices XX-XX-XX.xls**”. As explained earlier, this file is formatted to print the first 5 columns of each provider monitoring worksheet and shows the rating choices for each element/ subelement on the actual monitoring worksheet.

  The difference between the two options is:

  - The “**Rating Choices**” worksheet is more compact and prints using fewer pages. It has columns showing the key element and subelements reviewed for each provider monitoring worksheet, and it lists the possible rating choices in separate columns next to each subelement. It does not contain “Comments & Notes” rows, “Rating” columns, or header information about the provider monitored and persons conducting the monitoring.
  - Printing the individual monitoring worksheets of the “**Provider Monitoring Report Showing Rating Choices XX-XX-XX.xls**” file provides a copy of the first five columns of the actual monitoring worksheets showing all possible rating choices. It includes “Comments & Notes” rows, “Rating” columns, and header information about the provider monitored and persons conducting the monitoring.

  Both options are offered for reviewer convenience.

- **Ratings and Actions Required** (orange color tab) -- This worksheet provides a one-page easy reference table that lists each Domain and Key Element, the “Action Required” for each possible rating, and the cutoff for assigning a “Low” rating. It is provided for information only.

  It is useful for understanding the “Action Required” that the formulas in the “Action Required” column of the Provider Monitoring Report worksheet will automatically assign to each Key Element based on the rating received.

  As the table shows, a “High” rating or “Not Rated” requires no action. However, the actions required for “Moderate” and “Low” ratings vary for each key element depending on the nature of the element and the importance placed on it by the workgroup that designed the provider monitoring tool.

  For example, for key element “**1A1 - QM Plan (Documentation)**”, both a “Moderate” and a “Low” rating requires a “POC” (Plan of Correction). However, for key element “**1A2 - QM Plan/Activities (Staff Understanding)**”, both a “Moderate” and a “Low” rating requires only a “REC” (Recommendation for Improvement).

  The table also lists the cutoff established for a low rating for each key element. For monitoring worksheet #1, the ratings are based on “qualitative” criteria. For the other monitoring worksheets (#2 - #5), the ratings are generally based on the percentage of records reviewed or interviews conducted that meet criteria.

  As the table shows, several key elements allow only two possible ratings - “High” or “Low”. There is no “Moderate” rating for these elements. In these cases, the cutoff percentage for a “Low” rating is higher than that required for the other key elements.

- **Effective Sample Size** (orange color tab) -- This worksheet provides a table showing the effect of sample size on ratings for elements whose rating relies on the percentage of documents reviewed or interviews conducted that meet criteria. This table shows the number that must meet criteria for sample sizes ranging from 1 - 25 in order to receive the “High”, “Moderate”, and “Low” ratings. It is provided for information only.

Helpful Hints.

- **Colored Worksheet Tabs**. As noted in the preceding section, some of the worksheets in the file have different color tabs.

  - The **green-tabbed** worksheets are part of the Provider Monitoring Report and are printed and provided to the provider following the monitoring visit.

  - The **gray-tabbed** worksheets are the individual provider monitoring worksheets (Worksheet #1 through #5) that are completed by the reviewers during the monitoring visit. These worksheets contain the detailed information about the subelements and their ratings that are used to generate the green-tabbed summary report. These worksheets may also be printed and attached to the report to provide more details about how the ratings were derived.

  - The **orange-tabbed** worksheets are for internal LME use or information. They include a worksheet for entering identifying information about the provider and LME that automatically enters this information on other worksheets, a worksheet that provides summary information in a format that can be easily copied and entered into a database for tracking the results of monitoring for all providers, and reference sheets providing rating choices and a table showing the effect of sample size on ratings.

  - The **yellow-tabbed** worksheet identifies the worksheet that can be copied or moved to another file and used to create a database for tracking the results of provider monitoring for multiple providers and reviews.

- **Use of Worksheet Protection**. Worksheet Protection has been turned on for each worksheet to protect formulas, links and important information from being inadvertently deleted or copied over. Cells where information can be entered have been unlocked to allow data entry when worksheet protection is turned on. Protection has been formatted to allow users to change the formatting for rows and columns without the need to turn protection off. For example users can hide/unhide columns or change the row height or column width (if needed) to adjust the way the worksheets print. On the database worksheet, the worksheet can be filtered and sorted while protection is on.

  Worksheet Protection has not been password protected. It can be turned on and off at the user's discretion. If it must be turned off for any reason, be careful not to change or delete anything important, and be sure to re-protect the worksheet as soon as possible.

- **Viewing the Worksheets Using Different Monitors**. Due to the use of text wrapping, the row heights on each worksheet vary depending on the content. This may pose a challenge to some users who may have small or low-resolution computer monitors. For individuals in this situation, some rows may appear to be almost as tall as the screen making it difficult to smoothly scroll from row to row.

  If this is the case and becomes a problem, reduce the percentage on the "zoom" shortcut button on the Excel toolbar to reduce the viewing size of the worksheet on the monitor. This will make each row appear smaller and may make it easier to scroll. Only the viewing size that appears on the monitor will be affected.

  This technique can also be used to view more of the worksheet on the monitor. Adjusting the zoom on the Excel toolbar does not affect the size of the report that is printed. Adjusting the zoom is worksheet-specific and only affects the worksheet for which the zoom has been adjusted.